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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Applicant(s):** YUQIAO LIU and WEI-SHIN TSAY  
**Title:** Compact Multiplexing/Demultiplexing modules  
**Serial No.:** 09/994,367  
**Filing Date:** 11/26/2001  
**Examiner:** Unknown  
**Group Art Unit:** 2633  
**Docket No.:** 2107-14

February 11, 2002

Commissioner of Patents and Trademarks  
Box Missing Parts  
Washington, DC 20231

Re: Response to Notice to File Missing Parts of Application  
*Filing Date Granted*

Dear Sir:

In response to the "Notice To Missing parts of Application – Filing Date Granted" mailed by the United States Patent and Trademark Office on 12/05/2001, the following documents are enclosed to complete the filing of the above-identified patent application:

1. A Declaration signed by the inventors in compliance with 37 CFR 1.63;
2. Copy of Notice To Missing parts of Application – Filing Date Granted;
3. A check of \$475.00 payable to US Patent and Trademark Office; (including \$40 for assignment recordation)
4. A Fee Transmittal; and
5. A Stamped and Self-addressed postcard.

In addition, the Applicant has claimed the small entity status.

It is hereby respectfully submitted that the enclosed documents complete the filing of the above patent application and justify the US filing date of November 26, 2001. The applicant believes that \$475.00 enclosed herewith is the only fee to be

due in responding to this Notice. Please telephone the undersigned at (408)777-8873, if there are any questions.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to "Commissioner of Patents and Trademarks, Washington, DC 20231", on February 18, 2002.

Name: Joe Zheng

Signature: 

Respectfully submitted;



Joe Zheng

Reg.: No. 39,450



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PTO/SB/17 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**475.00**

## Complete if Known

Application Number **09/994,367**  
Filing Date **11/26/2001**  
First Named Inventor **YIQIAO LIU**  
Examiner Name  
Group Art Unit **2633**  
Attorney Docket No. **2107-14**

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number  
Deposit Account Name

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$370
106	320	208	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)**370**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	\$0
Multiple Dependent	-3** =	X	\$0

\*\*for number previously paid, if greater; For Reissues, see below

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)**0**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	880	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Sheet	
581	40	581	40	Recording each patent assignment per property (times number of properties)	\$40
148	710	248	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**105**

## SUBMITTED BY

Name (Print Type)	Registration No. (Attorney/Agent)	Telephone
<b>Joe Zheng</b>	<b>39,450</b>	<b>408-777-8873</b>
Signature	Date	
<i>Joe Zheng</i>	<b>2/11/2002</b>	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.